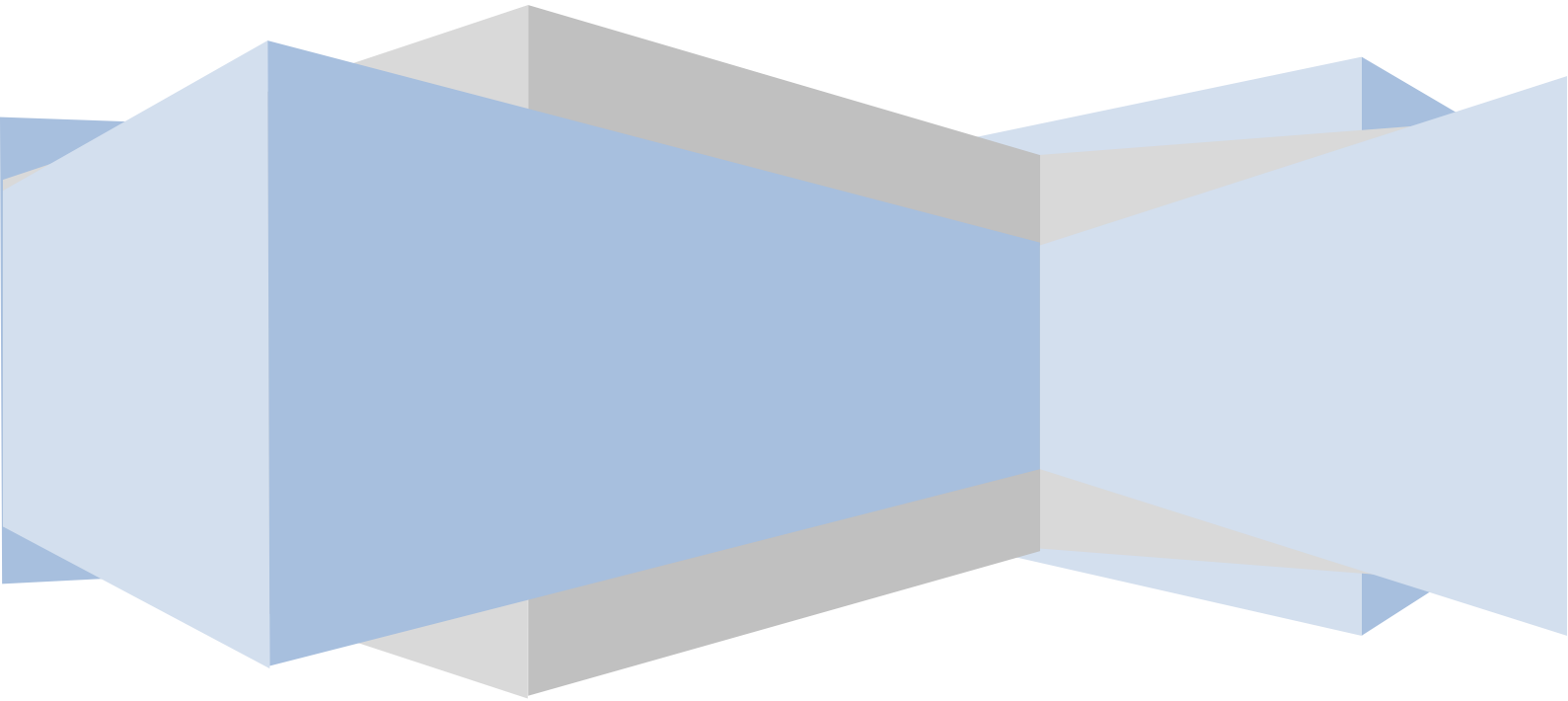
UNIVERSITY OF LIVERPOOL

# HERMES User Guide 2015

## External Examiner Workflow for Taught Provision

Student Administration and Support Division



UNIVERSITY OF LIVERPOOL

# CONTENTS


1. **INTRODUCTION** ..... **3**

1.1 Introducing HERMES ..... 3

1.2 Accessing HERMES ..... 3

1.3 Roles and responsibilities ..... 4

1.4 The workflow process in HERMES ..... 5

**2 SAS ADMIN USERS** ..... **7**

2.1 Creating a new post ..... 7

2.2 Confirming an appointment ..... 9

2.3 Adding a user to a workflow role ..... 10

2.4 Removing a user from a workflow role ..... 11

2.5 Deleting a post ..... 12

2.6 Approving an annual report ..... 12

2.7 Automated email prompt and reminders ..... 13

**3 DEPARTMENT ADMIN USERS** ..... **14**

3.1 Submitting a nomination ..... 14

3.1.1 Assigning modules (modular provision only) ..... 14

3.1.2 Entering personal information ..... 16

3.1.3 Appointment criteria checks ..... 17

3.1.4 Functional role and responsibilities ..... 17

3.2 Reviewing an annual report ..... 19

3.3 Responding to an annual report ..... 19

**4 FACULTY ADMIN USERS** ..... **20**

4.1 Approving a nomination ..... 20

4.2 Approving a Department/School response to an external examiner report ..... 22

**5 TQSD USERS** ..... **23**

5.1 Reviewing an annual report ..... 23

**6 EXTERNAL EXAMINERS** ..... **24**

6.1 Accepting or declining the offer of an appointment ..... 24

6.2 Completing and submitting the annual report ..... 28

6.3 Reviewing a Department/School response to an annual report ..... 28

6.4 Preparing and submitting expense claims ..... 29

**7 CONTACT DETAILS** ..... **31**

## 1.1 INTRODUCING HERMES

**HERMES** - **H**andling **E**xternal Examiner **R**eports, **M**aintenance of appointments and **E**xpense **C**laim **S**ubmissions – is an automated workflow application located within TULIP, which manages all aspects of the administration of external examiner appointments for taught provision (undergraduate and postgraduate taught). HERMES is also used to manage the appointment of external examiners assigned to MRes and Professional Doctorate provision.

HERMES is designed to support the requirements of Appendix H of the Code of Practice on Assessment which governs the external examiner system (taught provision).

HERMES is used to:

- Create and maintain posts to which external examiners are appointed (Student Administration & Support Division (SAS));
- Submit nominations for the appointment of external examiners (Departments or Schools, as appropriate);
- Consider and approve, or reject, nominations for the appointment of external examiners in accordance with the Code of Practice (Faculty);
- Confirm appointments of external examiners (SAS);
- Submit annual report forms and expense claims (external examiners);
- Review annual reports (Departments or Schools, as appropriate, Faculty, and Teaching Quality Support Division (TQSD)).

The benefits of HERMES include:

- Reduced delays in the appointment process;
- Improved communication between stakeholders through automated email notifications;
- Greater transparency in the appointment process, and the work undertaken by external examiners.

## 1.2 ACCESSING HERMES

Access to HERMES is restricted to designated users. If you are based within a Department, or School, and require access then you must submit a request to your Faculty Student Experience Manager for approval. Faculty Student Experience Managers are responsible for approving (or rejecting) access requests and SAS assign users to roles/permissions within HERMES.

Once you have been given access to HERMES you can find it by logging in to TULIP using your MWS (network) username and password and navigating via:

**ADMINISTRATION ⇨ GENERAL ⇨ HERMES**

The description for the HERMES application is "External examiner workflow for taught provision". Tip: you may wish to add HERMES to your 'Quick Links' (click on the red lightning bolt icon).

## 1.3 ROLES AND RESPONSIBILITIES

There are four roles within HERMES. This section outlines the responsibilities associated with each role.

SAS Admin

The SAS Admin role is assigned to staff in Student Administration & Support Division for administering HERMES. This includes assigning users to roles, creating and maintaining posts for appointments, and facilitating each stage of the appointment process.

Department[1] Admin

The Department Admin role is assigned to individuals who are responsible for submitting nominations for the appointment of external examiners in a Department or School, as appropriate. Department Admin users also submit responses to external examiner reports (a process which typically runs in parallel with offline Faculty Academic Quality and Standards Committee activity).

Faculty Admin

The Faculty Admin role is assigned to individuals who are responsible for approving nominations for the appointment of external examiners in all Departments or Schools, as appropriate, within their Faculty on behalf of Senate. Faculty Admin users also review, and approve/reject, the responses submitted by Departments or Schools, as appropriate, to external examiner reports. Faculty Admin users are given an overview of all posts and appointments for all Departments or Schools associated with their Faculty.

TQSD

The TQSD role is assigned to staff based within Teaching Quality Support Division (TQSD). TQSD are responsible for considering institutional-level feedback from external examiners and any issues arising which relate generally to academic quality and assurance at the University.

[1] Department is used throughout HERMES, and accompanying training documentation, to refer to both Department and School users.

## 1.4 THE WORKFLOW PROCESS IN HERMES

Figure 1-1 illustrates the workflow process which takes place in HERMES. In short:

1. SAS create and maintain external examiner posts;
2. Departments or Schools, as appropriate, nominate external examiners for appointment;
3. Faculty consider, and approve or reject, nominations;
4. SAS confirm that appointments satisfy the Code of Practice of Assessment (Appendix H);
5. External examiners are invited to accept or reject the offer of an appointment;
6. External examiners who accept an offer of appointment proceed to fulfil the requirements of their role, after which they are required to provide an annual report (or multiple reports) by the appropriate, advertised, deadline(s);
7. Annual reports are considered by the Department or School, as appropriate, by Faculty Academic Quality and Standards Committees (FAQSCs), and by TQSD;
8. Through FAQSC channels, the nature of the response required from the Department or School, as appropriate, to the external examiner's report is determined;
9. The Department or School, as appropriate, submits a response to the external examiner's report;
10. Faculty approve or reject the response;
11. External examiners are notified that a response has been provided to their report.

External examiners also use HERMES to submit expense claims throughout the period of appointment and these are processed for payment by SAS.

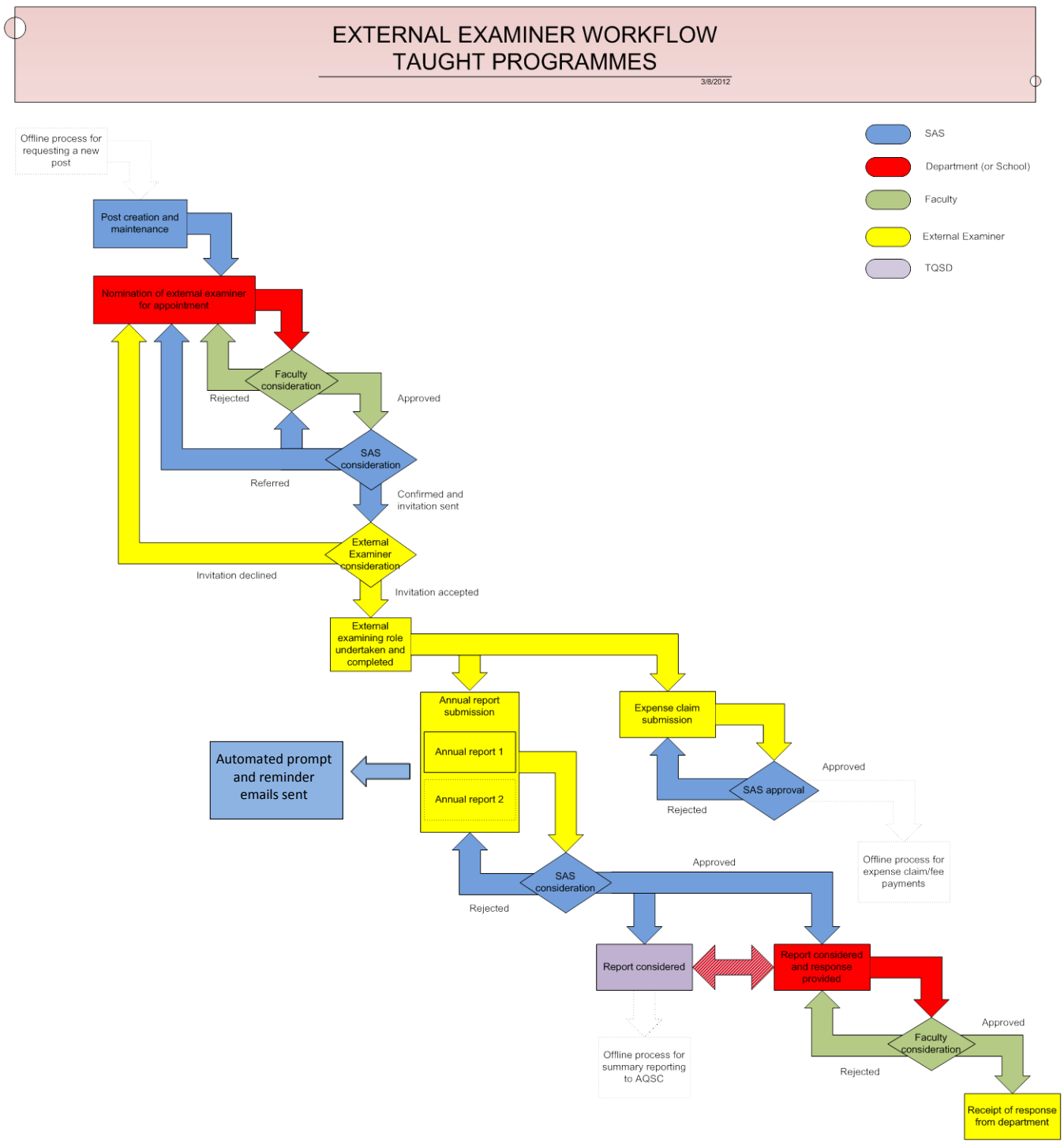



Figure 1-1. The workflow process.

# 2 SAS ADMIN USERS

This section provides step-by-step instructions for carrying out the responsibilities assigned to users with the SAS Admin role.

These instructions assume that a user has already logged in to HERMES and that the starting point is the main screen.

## 2.1 CREATING A NEW POST

SAS Admin users are responsible for creating all external examiner posts to enable Department Admin users (staff in Departments or Schools, as appropriate) to submit nominations for the appointment of external examiners.

To create a post:

1. Click on the 'Create New Post' link.
2. Enter the relevant Session (e.g. 201213) for the post.
3. Select the correct Faculty from the dropdown list (e.g. Fac of Science & Engineering).
4. This will update the dropdown selection for the subsequent field – Department.
5. Select the appropriate Department or School from the dropdown list (e.g. Chemistry).
6. Enter a unique identifying label in the 'Discipline' field: this is the means by which a post is uniquely or readily identified. A Department or School may request that a post is renamed by emailing extexam@liv.ac.uk.

   The post name should always be suffixed by a number in parentheses in those instances where more than one external examiner is to be appointed to the same provision.

   The post name should always be suffixed by "(Online)" for external examiners appointed to online provision.

   **Example: BSc Inorganic Chemistry (1)**

   **Example: BSc Inorganic Chemistry (2)**

   **Example: MSc Computer Science (Online) (1)**

   **Example: MSc Computer Science (Online) (2)**

7. Leave the Dept. Notification Date field blank.

8. The Dept. Deadline Date is 31st October for the forthcoming session.

   **Example: 2012/13 appointments – deadline: 31/10/2012**

9. If the post is for an MRes programme or a Taught Doctorate then check the box to indicate that this is the case.

10. Provide any notes as required, including the outcome of any request for an appointment notwithstanding the Code of Practice on Assessment or requests for the establishment of a new post.

    **Example: NWS 01234 New post approved 01/01/2012**

    **Example: NWS 01235 Exceptional 5th year approved 01/01/2012**

11. Click on 'Submit'.

The post is now listed for a Department or School, as appropriate, to update with nomination details. The Department Admin user(s) will be sent an automated email notification requesting that an examiner be nominated for an appointment to the post.

**Appointment Status:** Dept. notified

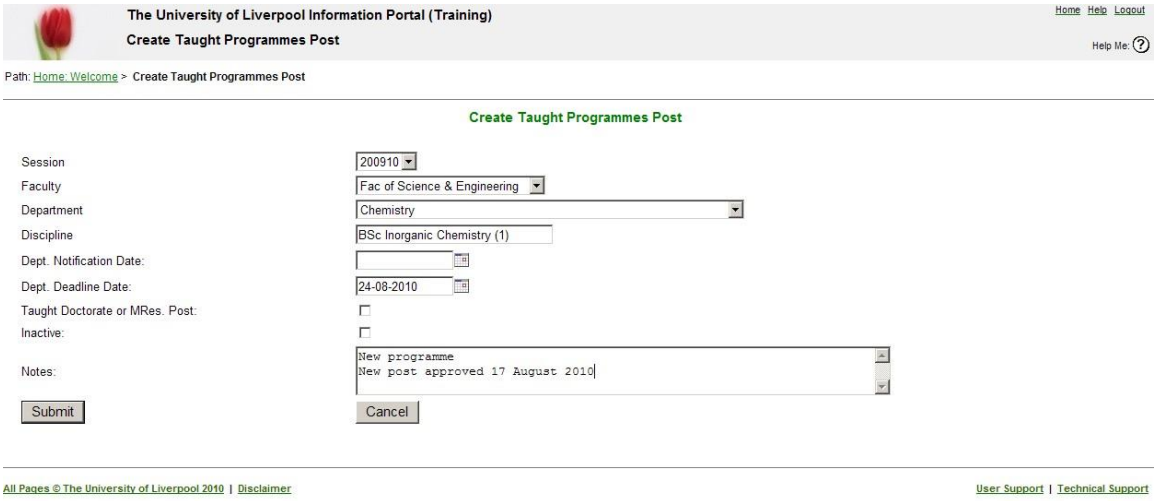



Figure 2-1. Creating a Taught Programmes Post.

## 2.2 CONFIRMING AN APPOINTMENT

SAS Admin users will be notified when a nomination has been approved by Faculty. SAS Admin users must then confirm the appointment satisfies the requirements of Appendix H of the Code of Practice on Assessment.

1. Click on the 'SAS Appt. App.' link.

   The post and nomination details are available for review along with any comments submitted by either Department Admin or Faculty Admin users.

2. Review the appointment details supplied by the Department or School, as appropriate.

3. If the appointment satisfies the requirements of the Code of Practice then answer 'Yes' to the question "Does this appointment meet the conditions of the Code of Practice for appointment of External Examiners?".

   If the appointment contravenes the Code of Practice then answer 'No' and use the notes field to provide further commentary about the rejection of the appointment.

4. Enter report deadlines for each report which the external examiner is expected to submit:

   - Subject Level reports (all) / Undergraduate Award Level: 31/07/yyyy
   - Postgraduate Award Level: 31/12/yyyy
   - Veterinary Science CPD provision: 31/10/yyyy

5. Enter the fee which has been set for the appointment.

6. If the nomination is to be confirmed then click on the 'Approve' button.

   If the nomination is being rejected for a reason associated with Faculty activity then click on the 'Reject (Faculty reason)' button – this will send the appointment back to the Faculty Admin user for action.

   If the nomination is being rejected for a reason associated with Department/School activity then click on the 'Reject (Department reason)' button – this will send the appointment back to the Department Admin user for action.

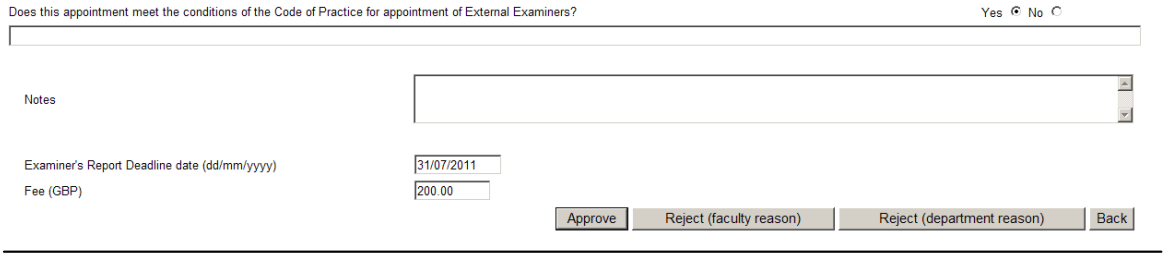



Figure 2-2. Confirming or rejecting an appointment.

**Accepted:** The appointment meets the requirements of the Code of Practice and has been confirmed by SAS. The external examiner will be sent an automated email inviting the nominee to accept the appointment.

**Appointment Status:** SAS Approved Appointment

**Rejected:** The nomination details have been rejected by SAS and the Faculty or Department/School is notified by email and asked to submit a new/revised nomination form as appropriate.

## 2.3 ADDING A USER TO A WORKFLOW ROLE

SAS Admin users are responsible for maintaining roles and permissions for individuals who need access to HERMES.

1. Click on the 'External Examiner Workflow Roles Admin' link.
2. Locate the area and role which is required by a user (e.g. Fac of Science & Engineering).
3. Click on the 'Add Staff To Role' link.
4. Click on the small 'list' button to the right of the text field to bring up the Staff Directory screen.
5. Enter the surname and any other details of the user whose permissions are being added.
6. Click on 'Search'.

7. Click on the name of the individual required – this will automatically fill in the earlier screen text field with the individual's name.

8. Click on 'Add this Member of Staff to Selected Role and Organisation ID'.

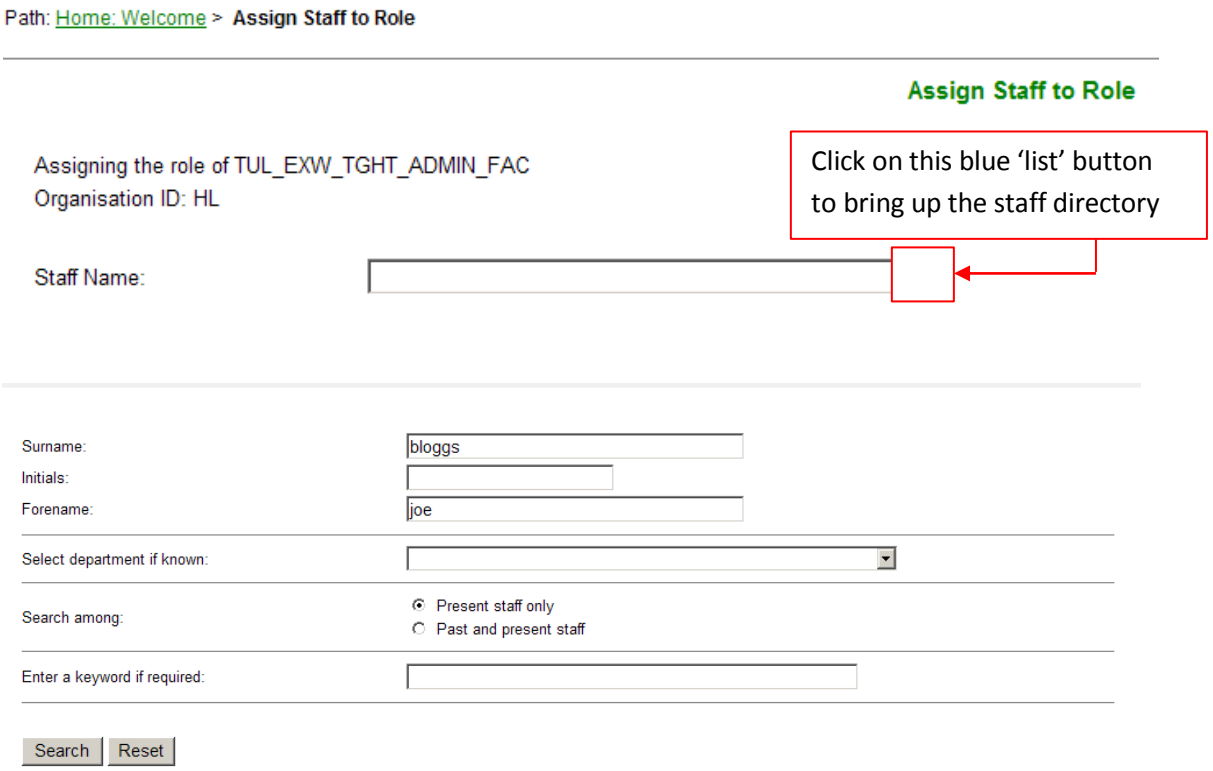



Figure 2-3. Assigning a member of staff to a workflow role in HERMES.

## 2.4 REMOVING A USER FROM A WORKFLOW ROLE

If a user has been assigned incorrect permissions, or is no longer involved in a particular activity requiring access to HERMES then SAS Admin must adjust permissions accordingly.

1. Click on the 'External Examiner Workflow Roles Admin' link.

2. Scroll down the screen to the relevant area and role (e.g. Fac of Science & Engineering).

3. Click on the 'Remove from Role' link next to the name of the individual no longer requiring permissions for that role/area.

Figure 2-4. Removing a member of staff from a workflow role in HERMES.

## 2.5 DELETING A POST

SAS Admin users are also responsible for deleting posts in HERMES where those posts have been permanently disestablished.

1. Click on the 'Delete Post' link.

**There is no confirmation request: a deleted post cannot be recovered.**

Figure 2-5. Deleting a post.

## 2.6 APPROVING AN ANNUAL REPORT

SAS Admin users will be notified when an external examiner submits the required annual report(s).

SAS Admin users must approve the submission (of all reports) before the examiner's fee can be passed for payment and before the annual report/s is/are made available to the Department or School, as appropriate, and to Faculty and TQSD.

1. Click on the 'Report Approval' link.

2. The annual report(s) can be downloaded by clicking on the 'View Written Report' link(s) on the subsequent screen.

3. Confirm that the annual report(s) is/are complete, including summary checklist(s).

4. If the report(s) has/have been submitted correctly then click on the 'Approve' button. Department Admin and Faculty Admin users will be notified.

   If the report has been submitted incorrectly (for example, if the report names students in contravention of the Code of Practice on Assessment) then click on the 'Reject' button and enter a reason in the notes field.

**Accepted:** The annual report has been approved by SAS and is available for review by Department Admin user(s) and TQSD user(s). The Department or School, as appropriate, should now submit a 'Departmental Response'.

**Appointment Status:** Appointment Complete

**Rejected:** The annual report has been rejected by SAS and the external examiner is notified that they must resubmit their report and make amendments as requested.

## 2.7 AUTOMATED EMAIL PROMPTS AND REMINDERS

HERMES will automatically send a prompt email 7 days before the report deadline to external examiners who have not yet submitted their report. This email will contain the external examiners HERMES username and password and a reminder of their report deadline.
If the report has not been received following the deadline, email reminders will be sent 1 day after the deadline, 7 days after the deadline and 21 days after the deadline. Relevant faculty approvers are copied in to the email. Upon submission of the report all further reminder emails will be cancelled.

Select 'yes' or 'no' in send e-Ma

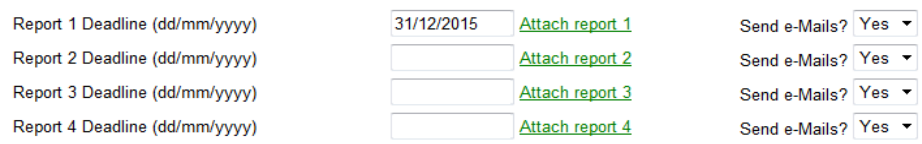



Figure 2-7. Overriding automated emails.

# 3 DEPARTMENT ADMIN USERS

This section provides step-by-step instructions for carrying out the responsibilities assigned to users with the Department Admin role. Please note that this role is used to describe users at both Department and/or School level.

These instructions assume that a user has already logged in to HERMES and that the starting point is the main screen.

## 3.1 SUBMITTING A NOMINATION

A post which requires the appointment of an external examiner will be listed under the name of the Department or School, as appropriate, with the appointment status 'Dept. notified'.

Department Admin users will be notified when a post has been created which requires the submission of a nomination.

### 3.1.1 ASSIGNING MODULES (MODULAR PROVISION ONLY)

The first stage in submitting a nomination involves assigning modules to the post (modular provision only).

1. Click on the 'Dept. Nomination' link.

   Summary information is available on the subsequent screen which shows when the post was created, and any notes provided by SAS (including new post approval dates and new programme approval dates).

   Fee and report deadline information will not yet be available. This information is only available to view once the nomination has been approved by Faculty and confirmed by SAS.

2. Click on the 'Add Modules' link.

3. The 'Add a module to a post' screen will now be displayed.

   Only those modules with valid, current, and approved Module Specifications in TULIP, for the relevant session, will be displayed. Module Specifications must include the Department/School in the 'Originating Department' field or the 'Contributing Department' field to appear in the module assignment screen in HERMES for that Department/School. If you cannot see a module you are expecting to see it is because there is no Module Specification for the session or because the Module Specification does not include the correct Department/School. Please contact tulip@liv.ac.uk to

request assistance. HERMES is distinct from Module Specifications and SAS are unable to assist further.

4. Select the module(s) to assign to the external examiner. Please note that you may select more than one module at the same time by using the Control (CTRL) key on the keyboard whilst left clicking the mouse button.

5. Click the 'Add' button to add the selected module(s) to the appointment.

6. Click the 'Close' button when ready.

   Modules which have been added now display in the nomination screen.

7. Modules can be removed from a post by clicking on the red 'X' button as required.

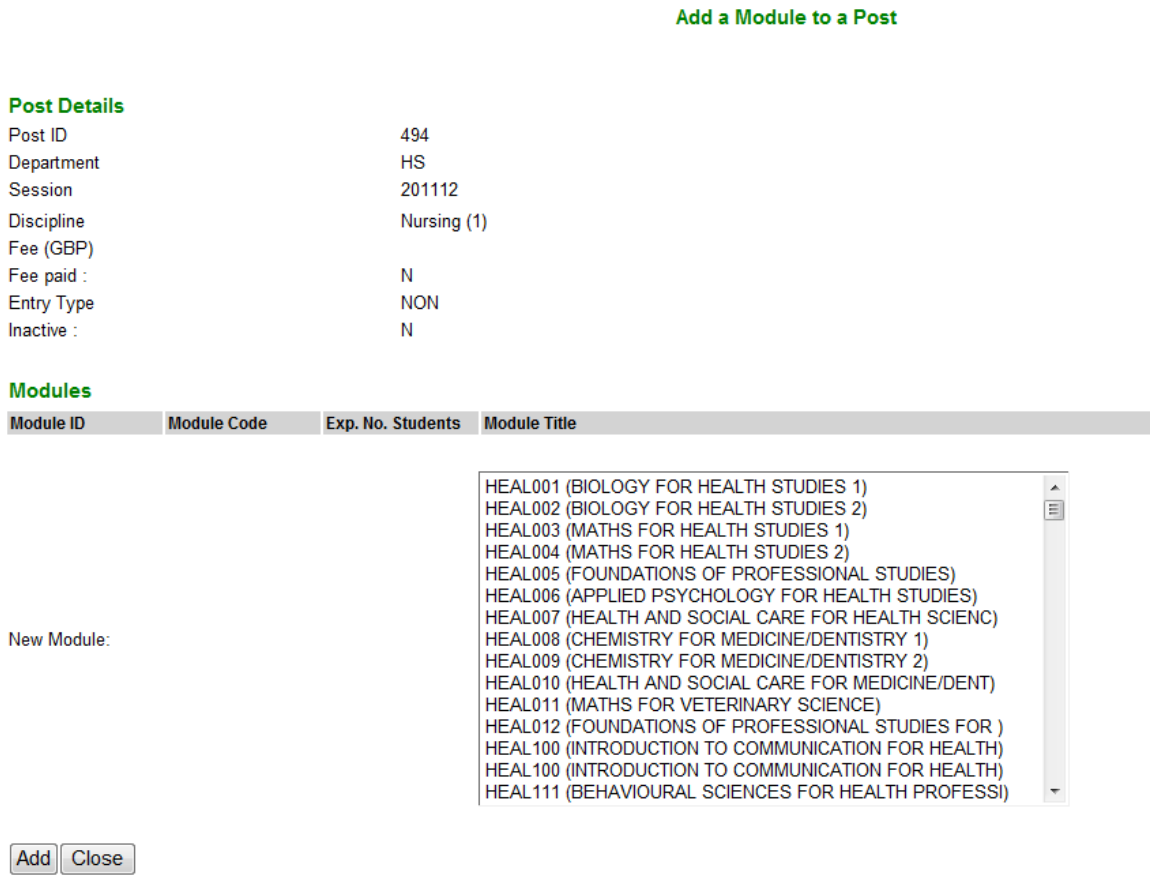

Add a Module to a Post
Post Details
Post ID 494
Department HS
Session 201112
Discipline Nursing (1)
Fee (GBP)
Fee paid : N
Entry Type NON
Inactive : N
Modules
Module ID
Module Code
Exp. No. Students
Module Title
New Module:
HEAL001 (BIOLOGY FOR HEALTH STUDIES 1)
HEAL002 (BIOLOGY FOR HEALTH STUDIES 2)
HEAL003 (MATHS FOR HEALTH STUDIES 1)
HEAL004 (MATHS FOR HEALTH STUDIES 2)
HEAL005 (FOUNDATIONS OF PROFESSIONAL STUDIES)
HEAL006 (APPLIED PSYCHOLOGY FOR HEALTH STUDIES)
HEAL007 (HEALTH AND SOCIAL CARE FOR HEALTH SCIENC)
HEAL008 (CHEMISTRY FOR MEDICINE/DENTISTRY 1)
HEAL009 (CHEMISTRY FOR MEDICINE/DENTISTRY 2)
HEAL010 (HEALTH AND SOCIAL CARE FOR MEDICINE/DENT)
HEAL011 (MATHS FOR VETERINARY SCIENCE)
HEAL012 (FOUNDATIONS OF PROFESSIONAL STUDIES FOR )
HEAL100 (INTRODUCTION TO COMMUNICATION FOR HEALTH)
HEAL100 (INTRODUCTION TO COMMUNICATION FOR HEALTH)
HEAL111 (BEHAVIOURAL SCIENCES FOR HEALTH PROFESSI)
Add
Close

Figure 3-1. Adding modules to a post.

### 3.1.2 ENTERING PERSONAL INFORMATION

The external examiner's details should be provided once modules have been assigned.

A CV is required to accompany nominations of individuals who are to be appointed to a first year as external examiner. To attach a CV please click on the 'Attach CV' link prior to entering personal details for the external examiner. Browse to the location of the CV (i.e. the Word or PDF document stored on your M: drive), upload, and submit.

The Department or School, as appropriate, must confirm that the proposed external examiner has the Right to Work in the UK. Copies of passports (and visas where appropriate) are required and should be attached during the nomination process. Passports can be reattached from previous workflows. Please refer to Annex 2 of Appendix H of the Code of Practice on Assessment for further details. [Appendix H will be updated during 14/15 session to reflect changes to UK right to work legislation].

It is crucial that the personal information supplied is correct as it will be displayed to the external examiner. This includes the email address which must be accurate as this is where the letter of appointment and other important notifications are sent. The Year of Tenure is the year of appointment (e.g. this would be '3' for an external examiner who is to be appointed for a 3rd year).

Please also supply the number of dissertations or projects which are to be examined as part of the workload. This is important because it may alter the fee which is to be paid.

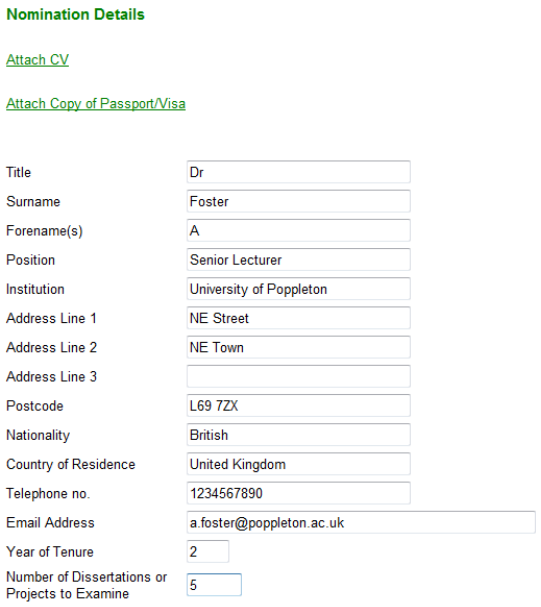



Figure 3-2. Entering personal details of the proposed external examiner.

### 3.1.3 APPOINTMENT CRITERIA CHECKS

There are several questions which must be answered in the second part of the nomination form to ensure that the nominee satisfies the criteria for appointment listed in Appendix H of the Code of Practice on Assessment.

Click on the appropriate radio button for each question (Yes/No). Whenever a 'No' answer has been provided an explanation is required - use the blank field below the question to provide this. This field can also be used to supply additional information even when answering 'Yes'.

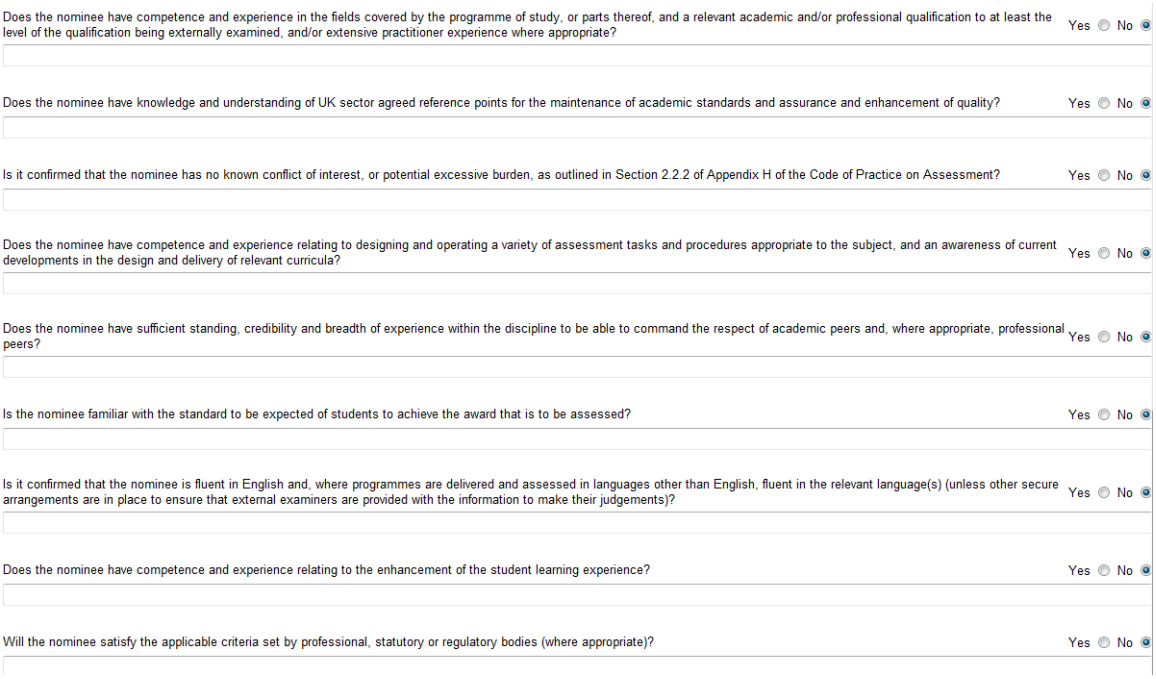

Does the nominee have competence and experience in the fields covered by the programme of study, or parts thereof, and a relevant academic and/or professional qualification to at least the level of the qualification being externally examined, and/or extensive practitioner experience where appropriate? Yes No
Does the nominee have knowledge and understanding of UK sector agreed reference points for the maintenance of academic standards and assurance and enhancement of quality? Yes No
Is it confirmed that the nominee has no known conflict of interest, or potential excessive burden, as outlined in Section 2.2.2 of Appendix H of the Code of Practice on Assessment? Yes No
Does the nominee have competence and experience relating to designing and operating a variety of assessment tasks and procedures appropriate to the subject, and an awareness of current developments in the design and delivery of relevant curricula? Yes No
Does the nominee have sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic peers and, where appropriate, professional peers? Yes No
Is the nominee familiar with the standard to be expected of students to achieve the award that is to be assessed? Yes No
Is it confirmed that the nominee is fluent in English and, where programmes are delivered and assessed in languages other than English, fluent in the relevant language(s) (unless other secure arrangements are in place to ensure that external examiners are provided with the information to make their judgements)? Yes No
Does the nominee have competence and experience relating to the enhancement of the student learning experience? Yes No
Will the nominee satisfy the applicable criteria set by professional, statutory or regulatory bodies (where appropriate)? Yes No

Figure 3-3. Code of Practice checklist.

### 3.1.4 FUNCTIONAL ROLE AND RESPONSIBILITIES

The external examiner's role (Subject Level and/or Programme Level and/or Award Level) should be specified in the following section. Please refer to Section 1.2. c) of Appendix H of the Code of Practice on Assessment for the details of all three functional roles.

Additional information should also be supplied about the nature of the appointment.

*Q: Is this a new appointment?*
A: 'Yes' for all 1st year appointments, 'No' for continuing appointments.

*Q: Is this post for a new programme?*
A: 'Yes' if this is a new programme which has been approved by the Director of SAS and the Pro-Vice Chancellor for the Student Experience, 'No' for all others.

*Q: Is this post for an additional/new external examiner?*
A: 'Yes' if a new post has been approved for this provision, 'No' for all others.

*Q: Is this nomination for an extension or amendment of the current post?*
A: 'Yes' if the nature of the workload or role has changed (e.g. if the external examiner was a Subject Level only external in the previous session but is being reappointed as a Subject Level and Programme Level external for the current session, or if modules attached to the post have changed), 'No' for all others.

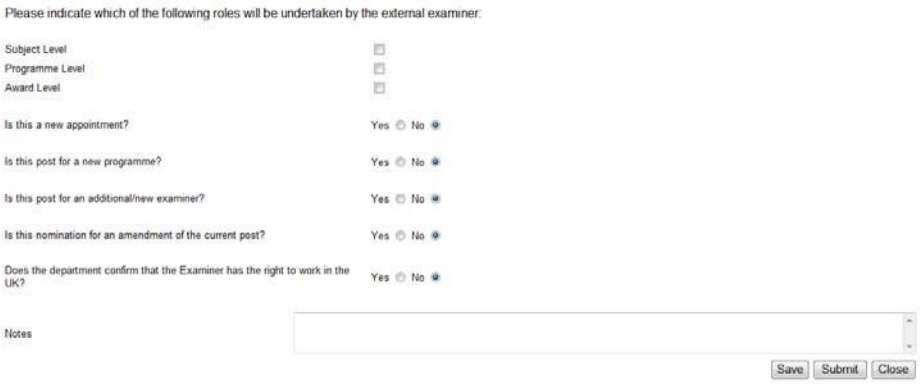

Please indicate which of the following roles will be undertaken by the external examiner:
Subject Level
Programme Level
Award Level
Is this a new appointment? Yes No
Is this post for a new programme? Yes No
Is this post for an additional/new examiner? Yes No
Is this nomination for an amendment of the current post? Yes No
Does the department confirm that the Examiner has the right to work in the UK? Yes No
Notes
Save
Submit
Close

Figure 3-4. Role and responsibilities.

Use the 'Notes' field at the bottom of the nomination form to provide any additional information as required. This can be used for internal use, or for external use, and will be displayed in the 'History' of the post which is available to all users.

Click on the 'Submit' button to submit the nomination.

If you wish to save your progress with completing a nomination form, and return to complete the form later, please click on the 'Save' button. You can return to the nomination form via the 'Dept. Nomination' link as normal.

The nomination has now been submitted and Faculty will be notified with a request to review and approve the appointment.

**Appointment Status:** Dept. Nomination submitted

## 3.2 REVIEWING AN ANNUAL REPORT

Once the external examiner has undertaken the associated work and completed an annual report, using HERMES, by the deadline indicated in the appointment details, this will be available to view after SAS have approved the report for dissemination.

1. Click on the 'History' link next to the relevant post.
2. The post summary information is provided at the top of the subsequent screen.
3. Scroll down the page to the 'Examiner's Report Details' section.
4. The report can be downloaded by clicking on the 'View Written Report' link.

Please note that the report contains both the written element and summary checklist.

## 3.3 RESPONDING TO AN ANNUAL REPORT

The Department or School, as appropriate, should submit a response to the external examiner's annual report once the content of that report has been reviewed and offline processes have taken place through Faculty Academic Quality and Standards Committee (FAQSC) channels.

1. Download the relevant report from within the post and complete the departmental sections.
2. Save the report locally.
3. Upload the new version of the report (including examiners and departments comments) using the 'Attach Departmental response Draft' link.

The Response is now available for Faculty to approve.

**Report Status:** Dept. Response Submitted

# 4 FACULTY ADMIN USERS

This section provides step-by-step instructions for carrying out the responsibilities assigned to users with the Faculty Admin role.

These instructions assume that a user has already logged in to HERMES and that the starting point is the main screen.

## 4.1 APPROVING A NOMINATION

When a Department or School, as appropriate, submits a nomination for the appointment of an external examiner then the relevant Faculty user(s) will be notified.

Faculty are responsible for approving appointments on behalf of Senate.

1. Click on the 'Faculty Nomination Approval' link.

   The post and nomination details are provided for the Faculty Admin user to review.

2. If the appointment satisfies the requirements of Appendix H of the Code of Practice on Assessment then answer 'Yes' to the question which asks "Does this appointment meet the conditions of the Code of Practice for appointment of External Examiners?".

   If the appointment is in contravention of any of the appointment criteria then answer 'No' and use the field below to refer to the relevant criteria.

3. If the nomination is approved then click on the 'Approve' button. If the nomination is rejected then click on the 'Reject' button.

4. Additional notes may be added by the Faculty Admin user using the Notes field on the form.

**Accepted:** The nomination for appointment has been approved by Faculty – SAS is notified by email so that the appointment may be processed.

**Appointment Status:** Nomination approved by Faculty

**Rejected:** The nomination details have been rejected by Faculty and the Department or School, as appropriate, is notified by email so that amendments can be made as appropriate.

**Appointment Status:** Dept. notified

## 4.2 APPROVING A DEPARTMENT/SCHOOL RESPONSE TO AN EXTERNAL EXAMINER REPORT

Once a Department or School, as appropriate, have reviewed the feedback provided by an external examiner in the annual report supplied by the external examiner through HERMES, they must provide a response. Typically this occurs in parallel with offline FAQSC processes but the Department/School response must be submitted through HERMES. Faculty Admin users are required to review and approve or reject that response.

1. Click on the 'Faculty Response Approval' link.

   The post details are provided for the Faculty Admin user to review, links are provided to the examiner's written report and to the Department/School response.

2. Click on the 'View Written Report' link to review the external examiner's report. This contains both the written element and the summary checklist.

3. Click on the 'View Departmental Response' link to review the Department/School response to the report.

4. If the response is satisfactory to Faculty requirements then click on the 'Approve' button.

   If the response fails to satisfy Faculty requirements then click on the 'Reject' button.

5. Additional notes may be added by the Faculty Admin user using the Notes field on the form.

   Once a Faculty Admin user approves a response to the external examiner's report it is immediately available to the external examiner.

**Approved:** The response has been confirmed by Faculty and the external examiner is notified.

**Report Status:** Report Submission Complete

**Rejected:** The Department/School response has been rejected by Faculty and the Department or School, as appropriate, is notified with a request to submit a new response.

**Report Status:** Response Rejected by Faculty

# 5 TQSD USERS

This section provides step-by-step instructions for carrying out the responsibilities assigned to users with the TQSD role.

These instructions assume that a user has already logged in to HERMES and that the starting point is the main screen.

## 5.1 REVIEWING AN ANNUAL REPORT

Once an external examiner has completed and submitted an annual report through HERMES, SAS will approve the report for dissemination. At this time, TQSD should access the report via the 'History' link of the relevant post.

1. Click on the 'History' link next to the relevant post.
2. The post summary information is provided at the top of the subsequent screen.
3. Scroll down the page to the 'Examiner's Report Details' section.
4. The report can be downloaded by clicking on the 'View Written Report' link.

# 6 EXTERNAL EXAMINERS

External examiners will use HERMES to:

- Accept or reject an offer of appointment;
- Submit an annual report (written element and summary checklist);
- Submit expense claims.

This section provides information which Departments or Schools, as appropriate, should convey to external examiners as part of the induction process, and includes step-by-step instructions for undertaking tasks associated with external examiner posts at the University.

## 6.1 ACCEPTING OR DECLINING THE OFFER OF AN APPOINTMENT

When an appointment has been fully approved at all levels within the University an automated email is sent to the external examiner, using the email address supplied on the nomination form, requesting that they log in to HERMES using unique login credentials which are also supplied within that email, to accept or decline the appointment.

The content of the appointment email will relate to the specific functional role(s) assigned. A sample appointment email is provided below:

---

External Examiner post ID: 49
Department: Architecture
Discipline: BArch (2)
Session: 201213

Dear Dr Smith,

On behalf of the Faculty of Humanities and Social Sciences I am delighted to formally invite you to accept an appointment as an external examiner at the University of Liverpool for the academic session 201213.

Your role will involve:

At Subject Level: the review of assessment practice and performance across a suite of modules or programme components within a particular discipline, endorsement of module or component marks, and attendance at the Module Review Board of Examiners.

At Programme Level: the review assessment practice, performance, content and structure across a defined programme (or across defined programmes) of study.

In addition, the role will involve reporting on good practice and opportunities through which the University might enhance the quality of learning provided to its students.

Your appointment details are available in HERMES (the online external examiner system) at: https://tulip.liv.ac.uk/pls/new_portal/webwise.exw_public.examiner_login

I would be grateful if you could now kindly log in to the system and accept the appointment.

Your logon details are provided below:

Username:

Password:

Please keep a record of these details as you will need them when submitting your annual report form and expense claims.

By accepting your appointment you confirm that you satisfy the appointment criteria, and have no conflicts of interest, as detailed in Section 2 of Appendix H of the Code of Practice on Assessment which is available to download from our website via http://www.liv.ac.uk/sas/externalexaminers/

If any issues arise during your appointment we would want you to raise these with the programme team but if you wish to raise any serious matters of concern you have the right to submit a confidential report to the Vice-Chancellor.

For assistance with any queries you may have about the online system or submitting a report or expenses, please contact our External Examiner Enquiries team by emailing extexam@liv.ac.uk or by telephoning 0151 794 2914.

Yours sincerely

Steve Tapril

pp Executive Pro-Vice Chancellor for the Faculty of Humanities and Social Sciences

---

1. The external examiner should click on the web link provided in the notification email and log in to HERMES using the username and password provided.

2. The subsequent screen will provide a summary of the post including the associated modules, report deadline, and fee.

3. The external examiner should accept the appointment by clicking on the 'Accept appointment' link or decline the appointment by clicking on the 'Decline appointment' link.

   Departments are advised to resolve any potential problems which may lead to an appointment being declined **before** the external examiner is notified.

4. When an external examiner declines an appointment the Department or School, as appropriate, will receive an automated notification by email requesting the submission of a new nomination. Faculty and SAS Admin users will also receive this notification.

5. If the external examiner wishes to contact the host Department or School, as appropriate, a link is available to email the member of staff who submitted the nomination form in HERMES.

6. If the external examiner wishes to contact SAS with a query about the system, a link is provided to contact extexam@liv.ac.uk.

7. A user guide for external examiners is also available from the action list.

**Accepted:** The appointment has been accepted and the submission of an annual report by the external examiner is now pending.

**Appointment Status:** Appointment Accepted
**Report Status:** Awaiting Examiner's Report

**Rejected:** The appointment has been rejected and a replacement nomination is required.

**Appointment Status:** Dept. notified

The University of Liverpool Information Portal
External Examiner Menu

Help

**Post Details**

| | |
|---|---|
| Post ID | 816 |
| Department | AP |
| Session | 201112 |
| Discipline | MA/PgCert/PgDip Teaching and Learning in HE |
| Fee (GBP) | |
| Fee paid : | N |
| Report 1 Deadline (dd/mm/yyyy) | 31/12/2012 |
| Entry Type | UK |
| Inactive : | N |

**Nomination Details**

| | |
|---|---|
| Title | |
| Surname | |
| Forename(s) | |
| Position | |
| Institution | |
| Address Line 1 | |
| Address Line 2 | |
| Address Line 3 | |
| Postcode | |
| Nationality | |
| Country of Residence | |
| Telephone no. | |
| Email Address | |
| Year of Tenure | |
| Number of Dissertations or Projects to Examine | |

**Modules**

| Module ID | Module Code | Exp. No. Students | Module Title |
|---|---|---|---|
| 39588 | EDEV200 | 8 | THEORY AND PRACTICE OF LEARNING AND TEACHING IN HIGHER EDUCATION |
| 39589 | EDEV201 | 8 | RESEARCH METHODS FOR PROFESSIONAL PRACTICE |
| 39591 | EDEV300 | 0 | DISSERTATION IN LEARNING AND TEACHING IN HIGHER EDUCATION |
| 39596 | EDEV306 | 0 | SUPPORTING STUDENT LEARNING |
| 36377 | EDEV307 | 0 | ASSESSING STUDENT LEARNING |
| 41504 | EDEV310 | 0 | LEARNING, TEACHING AND ASSESSMENT |
| 41506 | EDEV311 | 0 | STUDENT LEARNING |
| 41508 | EDEV312 | 0 | EVALUATION AND ENHANCEMENT |
| 39597 | EDEV401 | 12 | LEARNING, TEACHING AND ASSESSMENT |
| 39598 | EDEV402 | 12 | COURSE DESIGN AND EVALUATION |
| 39599 | EDEV403 | 5 | INFLUENCING CHANGE: CONTEMPORARY ISSUES IN HE |
| 39600 | EDEV404 | 6 | ENHANCING PROFESSIONAL PRACTICE |
| 39601 | EDEV405 | 8 | USING TECHNOLOGY TO ENHANCE LEARNING |

**Actions**

| Action Item | Status | Actions |
|---|---|---|
| User Guide | A user guide to the web-based external examiner system is available to download | Download |
| Contact Host Department | For enquiries about the appointment | Submit enquiry |
| Contact University | For enquiries about external examining at the University | Submit enquiry |
| Expense Claim | No Outstanding Expense Claims. | Prepare/Submit Expenses |
| Examiner Report 1 | Action Required | Upload Report//Report Template |

Figure 6-1. External examiner menu.

## 6.2 COMPLETING AND SUBMITTING THE ANNUAL REPORT

Once an external examiner has completed the work associated with their appointment they are required to submit an annual report, using HERMES, by the advertised deadline. Please note that an external examiner is not paid a fee until the annual report has been submitted and approved by SAS.

1. The same link, and login credentials, as provided in the appointment notification email should be used to log in to HERMES.

2. The external examiner should click on the 'Report Template' link within the 'Actions' section of the menu to download a copy of the guidance and report form. All reports must be submitted using the report template provided – any variants will be rejected by SAS.

3. The report template should be completed and saved to the external examiner's own computer (e.g. in My Documents).

4. Once the report is completed (both elements – checklist and written report), it should be uploaded via the 'Upload Report' link in the action list in HERMES.

5. The external examiner should click on the 'Browse' button and navigate to the location of the report form file (e.g. in My Documents) and select this to upload by clicking on the 'Attach' button. This will upload the document to HERMES.

6. The uploaded report should then be submitted formally by clicking on the 'Submit Report' link in the action list.

7. The annual report can be viewed, once uploaded, by clicking on the 'View Report' link.

## 6.3 REVIEWING A DEPARTMENT/SCHOOL RESPONSE TO AN ANNUAL REPORT

Once an annual report has been submitted, the Department or School, as appropriate, should submit a response using HERMES. This will be approved for release to the external examiner by Faculty. Once Faculty has approved the response, the external examiner will be notified and may view the response by clicking on the 'View Report' link next to 'Dept. Response' in the 'Action' section of the main screen.

**Actions**

| Action Item | Status | Actions |
|---|---|---|
| Expense Claim | Action Required - Please submit expenses claim. | View Expense Claim//Submit Expense Claim |
| Examiner Checklist | Complete - No further action required | View Checklist |
| Examiner Report | Complete - No further action required | View Report |
| Dept. Response | No action required | View Report |
| Report Submission | Complete - No further action required | |

Figure 6-2. Viewing a Department/School response.

## 6.4 PREPARING AND SUBMITTING EXPENSE CLAIMS

SAS will pay for reasonable expenses incurred from undertaking external examining work at the University.

Reasonable expenses are defined within the External Examiner Expense Claim Policy: http://www.liv.ac.uk/sas/externalexaminers/External_Examiner_Expenses_Claim_Policy.pdf

If expenses exceed reasonable or permitted levels, the Department or School, as appropriate, will be asked to make a contribution.

1. The external examiner should click on the 'Prepare Expenses' link in the actions list.

2. The external examiner's personal details are pre-populated but should be checked before submission of a claim.

3. A National Insurance number should be entered (as appropriate).

4. A bank account sort-code and account number (UK bank account) should be provided (international banking details may also be supplied if accompanied by SWIFT/IBAN code).

5. Home address details should be provided.

6. If the external examiner has a disability they should enter 'Y' into the 'Disabled' dropdown field.

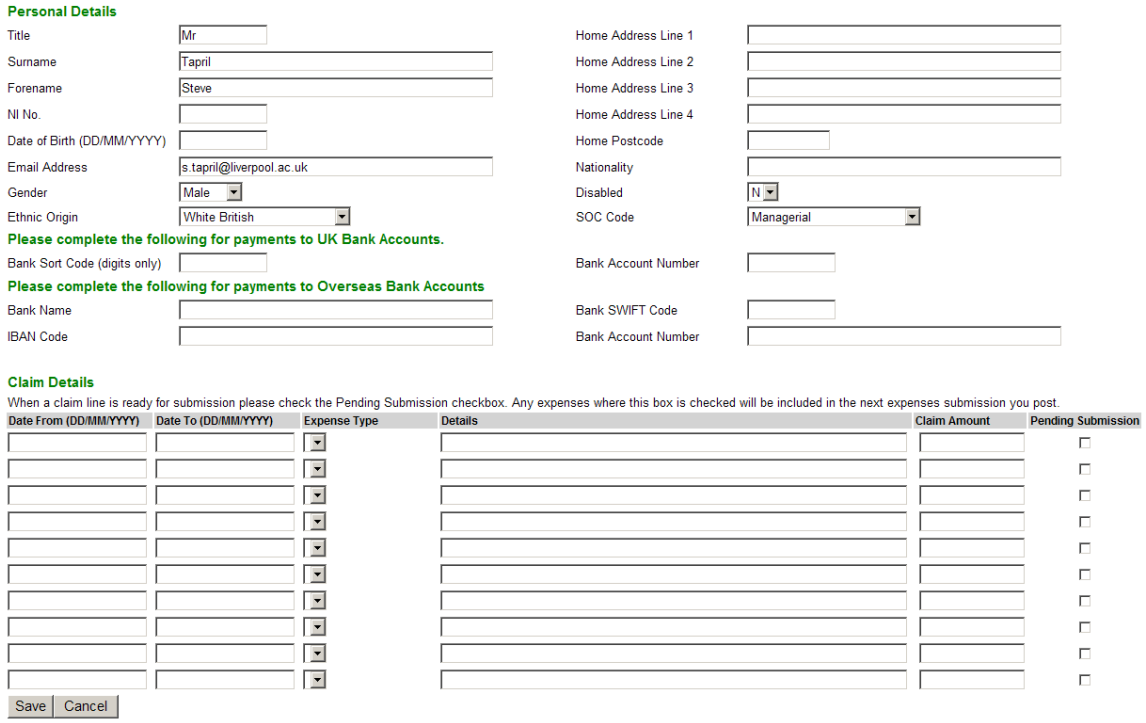
7. Expense claim details should then be entered: the date to/from fields relate to the date of the visit to the University, the type of claim (subsistence, or travel etc.), and the particulars, should be entered in the relevant associated fields.

   **Example:**

   | | | | |
   |---|---|---|---|
   | **01/06/2012-01/06/2012** | **Subsistence** | **Food (lunch)** | **£8.00** |
   | **01/06/2012-01/06/2012** | **Subsistence** | **Food (evening meal)** | **£12.00** |

8. The external examiner should tick the 'pending submission' check box for each item to be submitted: items which are not checked will not be included in the submission.

9. The claim should then be saved by clicking on the 'Save' button. This will store the items ready for submission.



**Personal Details**

| | | | |
|---|---|---|---|
| Title | Mr | Home Address Line 1 | |
| Surname | Tapril | Home Address Line 2 | |
| Forename | Steve | Home Address Line 3 | |
| NI No. | | Home Address Line 4 | |
| Date of Birth (DD/MM/YYYY) | | Home Postcode | |
| Email Address | s.tapril@liverpool.ac.uk | Nationality | |
| Gender | Male | Disabled | N |
| Ethnic Origin | White British | SOC Code | Managerial |

**Please complete the following for payments to UK Bank Accounts.**

| | | | |
|---|---|---|---|
| Bank Sort Code (digits only) | | Bank Account Number | |

**Please complete the following for payments to Overseas Bank Accounts**

| | | | |
|---|---|---|---|
| Bank Name | | Bank SWIFT Code | |
| IBAN Code | | Bank Account Number | |

**Claim Details**

When a claim line is ready for submission please check the Pending Submission checkbox. Any expenses where this box is checked will be included in the next expenses submission you post.

| Date From (DD/MM/YYYY) | Date To (DD/MM/YYYY) | Expense Type | Details | Claim Amount | Pending Submission |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Save Cancel

Figure 6-3. Expense claim form.

10. The external examiner will then be presented with the main menu and from here should click on the ‘Submit Expenses’ link under the actions list.

11. This will produce an alert indicating that the newly populated expense claim should be printed and returned, with accompanying receipts, to the address provided. The external examiner must acknowledge and follow the instructions contained within this message.

# 7 CONTACT DETAILS

**To contact the author of this guide, or for information and support with using HERMES or queries concerning administration of the University's external examiner system for taught provision in general, please contact:**

Mrs Emma Hughes, Senior Administrator, Student Administration & Support Division
Telephone: (0151 79) 4 2042
Email: Emma.Tomley@liverpool.ac.uk

**For information and support regarding the processing of appointments, expenses, and fees, please contact:**

Mrs Louise Higham, Management Support Team, Student Administration & Support Division
Telephone: (0151 79) 4 2914
Email: extexam@liv.ac.uk

**For information and support relating to quality assurance for taught provision, please contact:**

Ms Sonia Li, Teaching Quality Support Officer, Teaching Quality Support Division
Telephone: (0151 79) 4 2037
Email: soniali@liverpool.ac.uk